

PROCEDURE 1310.11
Issued January 6, 1997

SUBJECT: Acquisition of information processing resources.

APPLICATION: Executive Branch Departments and Sub-units.

PURPOSE: To establish the procedures for obtaining approval to acquire central system and end user computing (EUC) information processing resources.

CONTACT AGENCY: Department of Information Technology (DIT)
Office of Strategic Policy

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SUMMARY: Agencies shall follow approved guidelines when acquiring information processing resources. Submittal and approval of a Requirements Analysis Document (RAD) is necessary to acquire central support resources valued at \$25,000 or greater and contractual IP services valued at 10,000 or greater. To acquire End User Computer (EUC) resources, agencies shall submit an Annual Plan to the Department of Management and Budget (DMB) for approval. Approval by DMB of the EUC Annual Plan constitutes authority to acquire.

APPLICABLE FORMS: Central System Resources Requirements Analysis Document (RAD).
End User Computing (EUC) Annual Plan.

PROCEDURES:

Agency:

General

- For purposes of this procedure, information processing (IP) resources fall into the following 3 categories:
 - Resources related to a Central Support operation(s).
 - Resources related to the End-User Computing environment.
 - Contractual Services.
- Each category is discussed separately below.
- Questions regarding the applicability of this procedure to the acquisition of information processing resources may be directed to the DMB Office of Information Technology Solutions.

Central Support Resources

- Completes and submits to the Office of Information Technology Solutions (OITS) for review, the Central Support Resource RAD for the acquisition of IP resources estimated to cost more than the delegated limits shown below:

TYPE OP RESOURCES	CENTRAL SUPPORT RESOURCE RAD
IP Equipment and Software	\$25,000
Contractual IP Services	\$10,000
IP Supplies	Excluded from review

- Submit Central Support Resource RADs to the Director, OITS, DMB, for review and approval prior to the issuance of a purchase order for the related IP resources. The format and content of the RAD is specified on pages 4-6 of this procedure. **All requests for resources or services must reference the MAIN/ADPICS requisition number.**
- If the request is for IP resources that encompass both data processing and telecommunications, submits either a Central Support Resources RAD or a telecommunications RAD (TRAD), as appropriate, to OITS. OITS will be responsible for coordinating with Telecommunications Services.
- If the request encompasses solely resources that are telecommunications related (NIGP 725, 730), submits a Telecommunications RAD document (TRAD) to the Telecommunications Services, DMB. For further information, see Procedure 1410.01.

NOTE: Consulting services whose specific emphasis is in support of IP functions are subject the provisions set forth in Procedure 0630.02. That procedure should be followed for obtaining DMB approval of consulting services.

NOTE: In selected instances, OITS may require additional information prior to approving a request for IP resources. This practice should be infrequent and, generally, will relate to acquisitions involving potentially large expenditures or those of a highly complex with broad programmatic, organizational and/or administrative implications.

End User Computer Resources

- Prepares an End User Computing Annual Planning and Reporting Document (see pages 7-9 for format and content) and submits to OITS.

OSP:

- Reviews and approves or disapproves the Central Resource RAD requests and EUC Annual Plans.
- If approved, the Director of OSP or his designee will authorize the ADPICS document for further processing. Thereafter, agencies must follow Purchasing procedures to continue with the acquisition.

- If disapproved, sends a letter explaining the basis for disapproval to the agency.

NOTE: Approval of EUC Annual Plans will be by letter from OSP and will constitute approval for agencies to acquire EUC resources, in accord with their approved plan. Approval of these plans by DIT, OSP, constitute approval for acquisition of EUC resources. Submittal and approval of individual EUC resource requests is not required.

FORMAT AND CONTENT FOR A
REQUIREMENTS ANALYSIS DOCUMENT
FOR CENTRAL SUPPORT RESOURCES

Section I - Description of the Requirement

This section will contain an explanation describing the evolution of the need for additional central support resources to include, as appropriate, answers to the following questions:

- What factors contribute to the apparent need for the proposed resources?
- For how long and to what extent will the addition of the proposed resources satisfy the requirement?
- How will new and/or existing applications be affected by the proposed resource acquisition?
- Where will the proposed resources reside?
- What quality or volume standards must be met to satisfy the requirement? What is the source of these standards?
- Has a PRR been submitted? Approved? If so, when was it approved? Who is (was) the DMB budget analyst?

Section II - Proposed Solution

This section will contain a description of the preferred solution for satisfying the requirement to include answers to the following questions:

- What resources are proposed? Describe all applicable elements (hardware, software, personnel, contractual services, etc.). If contractual services are proposed, attach the associated CS-138 form indicating your department's approval.
- Are these resources in support of a pilot program or do they constitute the initial increment of a multi-phase procurement? If so, describe the follow-on phases as they are currently perceived with regard to the need for future IP resources related to this requirement.
- Describe any affect the acquisition of the proposed resources will have on existing IP resources, e.g. enhancement, modification, replacement, redirection, elimination, etc. Identify resources that will be eliminated or redirected as a result of the acquisition of the proposed resources.
- What organizational units will benefit from, or be affected by, the acquisition of the proposed resources?

Section III - Analysis of Alternatives

This section will contain a description of the alternative solutions that were identified prior to the determination of the proposed solution to include consideration of the following elements:

- Cost analysis of each alternative.
- The reasons for discarding the alternative(s).
- The consequences of doing nothing as a possible alternative.
- The reallocation, realignment and/or redistribution of existing resources to satisfy the requirement.

Section IV - Related Legislation

This section will contain a description of any legal requirement(s) which created the need for the proposed resources. Cite the specific Public Act or statute.

Section V - Cost Summary

This section will contain information describing the fiscal requirements associated with the acquisition of the proposed resources. A 3 year expenditure schedule is required, if appropriate, and must be presented in the following format:

Cost Element (in thousands)	FY_____	FY_____	FY_____	TOTAL
Personnel (New FTE's) No._____				
Hardware				
Software				
Training				
Maintenance				
Contractual Services				
Installation				
Vendor Support				
Other (describe)				
TOTAL				

Section VI - Funding Sources

This section will contain information describing the funding sources for the expenditures set forth in Section VI. A 3 year schedule, if appropriate, must be presented that accounts for all projected expenditures. Present the information in the following format:

Funding Source (in thousands)	FY_____	FY_____	FY_____	TOTAL
GF/GP				
Restricted				
Federal				
Other				
TOTAL				

Section VII - Additional Information

This section may be used to describe any additional information that contributes to a more precise understanding or appreciation of any considerations which are not specifically addressed in previous sections of the RAD.

Section VIII - Approvals

In the format presented below, the RAD must be signed by an authorized signatory of your department and dated prior to submission to DMB.

DEPARTMENTAL APPROVAL

DMB APPROVAL

NAME:

NAME:

TITLE:

TITLE:

DATE:

DATE:

Department of _____
End User Computing Annual Report for Fiscal Year 20-- and Plan for Fiscal Year 20--

Note: This report must be submitted to DMB OITS by October 31.

Table of Contents for the EUC Annual Report and Plan:

- Departmental EUC Overview:
 - Department Mission.
 - Department Goals.
 - Department Organization.
- Departmental Previous Year EUC Report
 - Overview of Results.
 - Overall Previous Year EUC Benefits.
 - Results of Departmental Goal #1.
 - Results of Departmental Goal #n.
 - Narrative on Deviations from Annual Plan
 - Brief Summary Report on Vendor Project Exceeding \$100,000.
- Departmental Annual EUC Plan
 - Overview of Department's EUC Plans
 - Department's Expected EUC Benefits for FY__.
 - Department's EUC Objectives/Strategies for FY__.
 - Departmental Summary of Actual and Planned EUC Resource Acquisitions (See table)
- Major Departmental Subunits (Bureaus/Offices)
(One planning document for each unit)
 - Unit Mission.
 - Unit Expected EUC Benefits for Fy_____.

- Unit EUC Objectives/Strategies for Fy____.
- Unit summary of actual and planned EUC resource acquisition (See summary table)
- Briefly describe those planned individual vendor contracts over \$100,000
 - Vendor contract #1
 - Vendor contract #n

FORMAT AND CONTENT FOR A DEPARTMENT'S
ANNUAL PLANNING AND REPORTING DOCUMENT

____ Departmental Summary

____ Subunit Detail: _____

ITEM	Quantity Past FY Actual	Quantity Future FY Plans	Expenditures Past FY Actual	Expend- itures Future FY Plans
Microcomputer Workstations Personal Computers (MS/DOS/OS2/NT)				
Personal Computers (Apple)				
UNIX Workstations				
Other Workstations (Engr., etc.)				
Portable Personal Computers				
File/Data Base/Telecom Servers (Part of Local or wide Area Networks)				
Printers Laser				
Non-Laser				
Software Word Processing				
Data Base				
Spreadsheet				
Local Area Network				
Other				
Vendor Svcs. EUC Support Services (On- Going)	N/A	N/A		
EUC Consulting Services (Project Basis)	N /A	N/A		
EUC Training Services	N /A	N/A		
EUC Contract Maintenance Services	N /A	N/A		
EUC Ad Hoc Maintenance Services (Estimated)	N /A	N/A		
Other EUC Support Costs	N /A	N/A		
Other Planned EUC Expenditures	N/A	N/A		
Total Cost Annual Planned EUC Program	N/A	N/A		

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